

RECEIPT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Craddock et al.**

Serial No.: **09/942,632**

Filed: **August 30, 2001**

For: **Apparatus and Method for
Swapping-Out Real Memory by
Inhibiting I/O Operations to a
Memory Region**

§
§
§
§
§
§

Group Art Unit: **2185**

Examiner: **Unknown**

Attorney Docket No.: **AUS920010475US1**

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on

10-11-01

By:

Dell Whitton
Dell Whitton

TRANSMITTAL DOCUMENT

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

ENCLOSED HEREWITH:

- Request for Corrected Filing Receipt
- Copy of the Official Filing Receipt;
- Letter to the Official Draftsman;
- 11 pages formal drawings; and
- Our return postcard.

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to IBM Corporation Deposit Account No. 09-0447. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to Deposit Account No. 09-0447.

Respectfully submitted,

Duke W. Yee

Duke W. Yee

Registration No. 34,285

CARSTENS, YEE & CAHOON, LLP

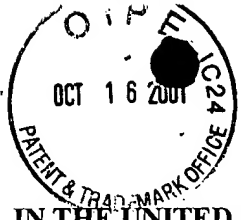
P.O. Box 802334

Dallas, Texas 75380

(972) 367-2001

ATTORNEY FOR APPLICANT

RECEIVED
NOV 02 2001
Technology Center 2100



Prescript

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Craddock et al.**

Serial No.: **09/942,632**

Filed: **August 30, 2001**

For: **Apparatus and Method for Swapping-Out Real Memory by Inhibiting I/O Operations to a Memory Region**

§
§
§
§
§
§

Group Art Unit: **2185**

Examiner: **Unknown**

Attorney Docket No.: **AUS920010475US1**

Certificate of Mailing Under 37 C.F.R. § 1.8(a)
I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on 10-11-01
By: Dell Whitton
Dell Whitton

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data, which is:

☒ incorrectly entered and/or ☐ omitted.

Error in

Correct data

1. ☒ Applicant's name
2. ☐ Applicant's address
3. ☐ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. ☐ Foreign/PCT Application Re:
7. ☐ Other

1. Thomas Anthony Gregg
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

3. The correction(s) is/are not due to any error by applicant and no fee is due.

RECEIVED
NOV 02 2001
Technology Center 2100

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to **Deposit Account No. 09-0447**. No extension of time is believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to **Deposit Account No. 09-0447**.

Respectfully submitted,



Duke W. Yee

Registration No. 34,285

CARSTENS, YEE & CAHOON, LLP

P.O. Box 802334

Dallas, Texas 75380

(972) 367-2001

ATTORNEY FOR APPLICANT



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/942,632	08/30/2001	2185	890	AUS920010475US1	11	30	3

CONFIRMATION NO. 9075

FILING RECEIPT



OC000000006840667

Duke W. Yee
Carstens, Yee & Cahoon, LLP
P. O. Box 802334
Dallas, TX 75380

Date Mailed: 10/03/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Davie F. Craddock, New Paltz, NY;
Thomas Anthony ~~Gregg~~, Highland, NY;
Renato John Recio, Austin, TX;
Donald William Schmidt, Stone Ridge, NY;

Gregg

RECEIVED

NOV 02 2001

Technology Center 2100

Assignment For Published Patent Application

International Business Machines Corporation, Armonk, NY;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 10/03/2001

Projected Publication Date: 03/06/2003

Non-Publication Request: No

Early Publication Request: No

Title

Apparatus and method for swapping-out real memory by inhibiting I/O operations to a memory

region

Preliminary Class

711

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

FILE COPY

UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov


Bib Data Sheet

CONFIRMATION NO. 9075

SERIAL NUMBER 09/942,632	FILING DATE 08/30/2001 RULE	CLASS 711	GROUP ART UNIT 2185	ATTORNEY DOCKET NO. AUS920010475US1
APPLICANTS Davie F. Craddock, New Paltz, NY; Thomas Anthony Gregg, Highland, NY; Renato John Recio, Austin, TX; Donald William Schmidt, Stone Ridge, NY;				
** CONTINUING DATA ***** <i>None</i>				
** FOREIGN APPLICATIONS ***** <i>None</i>				
IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 10/03/2001				
Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged <i>[Signature]</i> Examiner's Signature Initials		STATE OR COUNTRY NY	SHEETS DRAWING 11	TOTAL CLAIMS 30
			INDEPENDENT CLAIMS 3	
ADDRESS Duke W. Yee Carstens, Yee & Cahoon, LLP P. O. Box 802334 Dallas, TX 75380				
TITLE Apparatus and method for swapping-out real memory by inhibiting I/O operations to a memory region				
FILING FEE RECEIVED 890	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Craddock et al.**

Serial No.: **09/942,632**

Filed: **August 30, 2001**

For: **Apparatus and Method for
Swapping-Out Real Memory by
Inhibiting I/O Operations to a
Memory Region**

§
§
§
§
§
§
§

Group Art Unit: **2185**

Examiner: **Unknown**

Attorney Docket No.: **AUS920010475US1**

LETTER TO THE OFFICIAL DRAFTSMAN

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

Submitted herewith are formal drawings (11 sheets) for the above-identified application.

Respectfully submitted,

Duke W. Yee
Registration No. 34,285
Carstens, Yee & Cahoon, LLP
P.O. Box 802334
Dallas, Texas 75380
(972) 367-2001
ATTORNEY FOR APPLICANT

*I hereby certify this correspondence is being deposited with the United States Postal service
as First Class mail in an envelope addressed to: Assistant Commissioner of Patents,
Washington, D.C. 20231*

on

10-11-01

by

RECEIVED
NOV 02 2001
Technology Center 2100